



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Peter Szor
Assignee: Symantec Corporation
Title: EXCEPTION HANDLING VALIDATION SYSTEM AND METHOD
Serial No.: 10/671,152 Filed: September 25, 2003
Examiner: Unknown Group Art 2131
Unit:
Docket No.: SYMC1039

Monterey, CA
January 16, 2004

COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA. 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER §1.97(b)

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each is enclosed) to the attention of the Examiner:

U.S. PATENT DOCUMENTS:

	DOCUMENT NUMBER	DATE	NAME
1)	5,822,517	10/13/1998	Dotan
2)	6,301,699	10/09/2001	Hollander et al.

OTHER DOCUMENTS:

1)	Chien, E. and Szor, P., "Blended Attacks Exploits, Vulnerabilities and Buffer-Overflow Techniques In Computer Viruses", Virus Bulletin Conference, September 2002, Virus Bulletin Ltd., The Pentagon, Abingdon, Oxfordshire, England, pp. 1-36.
2)	Dabak, P., Borate, M. and Phadke, S., "Hooking Windows NT System Services", pp. 1-8 [online]. Retrieved on April 16, 2003. Retrieved from the Internet:<URL:http://www.windowsitlibrary.com/Content/356/06/2.html>.

3)	"How Entercept Protects: System Call Interception", pp. 1-2 [online]. Retrieved on April 16, 2003. Retrieved from the Internet:<URL:http://www.entercept.com/products/technology/kernelmode.asp>. No author provided.
4)	"How Entercept Protects: System Call Interception", pg. 1 [online]. Retrieved on April 16, 2003. Retrieved from the Internet:<URL:http://www.entercept.com/products/technology/interception.asp>. No author provided.
5)	McCorkendale, B. and Szor, P., "Code Red Buffer Overflow", Virus Bulletin, September 2001, Virus Bulletin Ltd., The Pentagon, Abingdon, Oxfordshire, England, pp. 4-5.
6)	Pietrek, M., "Under the Hood, new Vectored Exception Handling in Windows XP", pp. 1-7 [online]. Retrieved on August 6, 2003. Retrieved from the Internet:<URL:http://msdn.microsoft.com/msdnmag/issues/01/09/hood/default.aspx>.
7)	Pietrek, M., "A Crash Course on the Depths of Win32tm Structured Exception Handling", January 1997, 24 pages. Retrieved from the Internet:<URL:http://WWW.Microsoft.com/msj/0197/exception/exception.aspx> on August 6, 2003.

A PTO form 1449 listing these documents is enclosed.

U.S. PATENT APPLICATIONS (COPIES ENCLOSED):

	SERIAL NUMBER	FILING DATE	NAME
1)	10/464,091	06/17/2003	Szor
2)	10/611,472	06/30/2003	Szor
3)	10/633,907	08/04/2003	Szor

Citation of the above documents shall not be construed as:

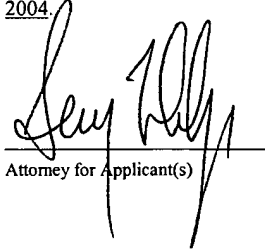
1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

If the USPTO issued a first office action prior to the mailing date of this paper, the Commissioner is hereby

authorized to charge any fees required for consideration of this Information Disclosure Statement, and to credit any overpayment of fees to Deposit Account No. 50-0553.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450, on January 16, 2004.

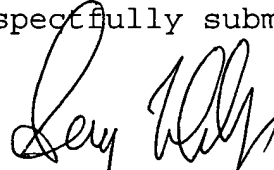


Attorney for Applicant(s)

January 16, 2004

Date of Signature

Respectfully submitted,



Serge J. Hodgson
Attorney for Applicant(s)
Reg. No. 40,017
(831) 655-0880

Form PTO-1449

Atty Docket No.

Serial No.

SYMC1039

10/671,152

INFORMATION DISCLOSURE CITATION

IN AN APPLICATION

Applicant(s)

Peter Szor

Filing Date

September 25, 2003

Group

2131

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,822,517	10/13/1998	Dotan	395	186	
	AB	6,301,699	10/09/2001	Hollander et al.	717	4	
	AC						
	AD						
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FOREIGN PATENT DOCUMENTS

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
	AL							
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	AN							
	AO							
	AP							

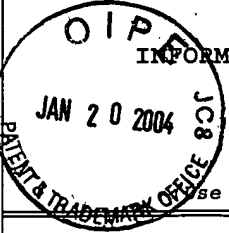
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

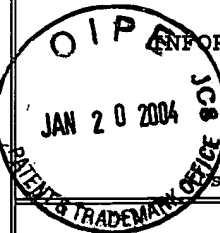
AR	Chien, E. and Szor, P., "Blended Attacks Exploits, Vulnerabilities and Buffer-Overflow Techniques In Computer Viruses", Virus Bulletin Conference, September 2002, Virus Bulletin Ltd., The Pentagon, Abingdon, Oxfordshire, England, pp. 1-36.
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AT	"How Entercept Protects: System Call Interception", pp. 1-2 [online]. Retrieved on April 16, 2003. Retrieved from the Internet:<URL:http://www.entercept.com/products/technology/kernelmode.asp>. No author provided.

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).

Form PTO-1449				Atty Docket No. SYMC1039		Serial No. 10/671,152		
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